

=M-205 Record Requirements*Revised Effective January 1, 2016*

The department regards the maintenance of adequate records essential for the delivery of quality medical care. In addition, providers should be aware that medical records are key documents for post-payment audits. Refer to Chapter 100 for record requirements applicable to all providers.

In the absence of proper and complete medical records, no payment will be made and payments previously made will be recouped. Falsification of records may also be cause for a referral to the Office of Inspector General and/or the appropriate law enforcement agency for further action.

For medical equipment and supplies, the basic record must include:

- Current practitioner's order
- An explanation of the medical necessity for the item or service dispensed, if this is not included in the practitioner's order, **or** a clinical diagnosis, if not included in the practitioner's order
- Patient's name, recipient identification number (RIN) and address
- A record of items and quantities dispensed and the date(s) dispensed, and
- Prior approval notification or authorization, if applicable

Refer to Topic M-203.1 for further explanation of what constitutes an acceptable practitioner's order.

Providers who dispense equipment or supplies on a monthly basis, for example, incontinence supplies, must confirm orders each month prior to dispensing. The confirmation should document the number of items needed as well as the name of the specific items needed for the subsequent month. Providers must speak to a patient, family member, or caregiver to ensure only those items and quantities needed are shipped. The provider must document in the file the name of the person who confirmed the order, as well as the provider's employee name who confirmed the order and the date of the confirmation. Orders not confirmed should not be dispensed. Confirmation calls must be made no more than 14 calendar days prior to the scheduled shipment day of the equipment or supply items. Auto-confirmation such as a robo-call confirmation is not acceptable. The confirmation should be made by a person.

Suppliers are required to maintain proof of delivery documentation in their files. Proof of delivery is required in order to verify the participant received the items.

Delivery direct to the participant by the provider must include:

- Participant name
- Delivery address
- Quantity delivered

- Sufficient detail description of the item being delivered (e.g. brand name, serial number, narrative description)
- Date delivered
- Participant signature or responsible person and date of signature

Delivery via Shipping or Delivery Service

Proof of delivery is a copy of the complete record tracking the item from the supplier to the participant; for example, a shipping invoice and the delivery services tracking information. The record must link to the delivery service record by a clear method such as the delivery service's package identification number or supplier's invoice number for the package sent to the participant. The proof of delivery must include:

- Participant's name
- Delivery address
- Delivery service's package identification, supplier invoice, or alternative method that links the supplier's delivery documents with the delivery service's records
- Sufficient detailed description to identify the items being delivered (e.g. brand name, serial number, narrative description)
- Quantity delivered
- Date delivered

In addition, in the case of medical supplies, the provider must be able to document purchases of sufficient quantities of the items to support the volumes dispensed and billed. In the case of durable medical equipment or prostheses, the provider must be able to provide a copy of the original wholesale purchase invoice for the item and records of any customization performed by the provider.